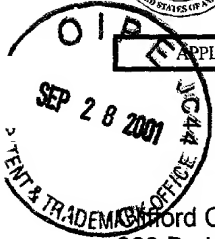




## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/871,427	05/31/2001	Andrew J.R. Smith	3499-76

CONFIRMATION NO. 8901

## FORMALITIES LETTER



\*OC00000006422942\*

Word Chance Rogers & Wells LLP  
200 Park Avenue  
New York, NY 10166-0153

Date Mailed: 08/14/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

[illegible]



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# SEC 101

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Post Office as first class mail in an envelope addressed to Commissioner for Patents, Washington, D C 20231, on

Date September 25, 2001

Name Lisa M. Davis

Signature *Lisa M. Davis*  
Clifford Chance Rogers & Wells LLP

Docket No. 3499-76

**IN THE UNITED STATES PATENT AND TRADE MARK OFFICE**

In re Application of: Andrew J.R. Smith et al.

Filed: May 31, 2001

Group Art Unit: 2161

Serial No: 09/871,427

Examiner: TBA

For: METHOD AND SYSTEM FOR PROCESSING RAW FINANCIAL  
DATA STREAMS TO PRODUCE AND DISTRIBUTE STRUCTURED  
AND VALIDATED PRODUCT OFFERING OBJECTS

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

Commissioner for Patents  
**BOX: MISSING PARTS**  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts (copy enclosed dated August 14, 2001 received for the above identified application, enclosed please find the following

1. ☒ Executed Declaration and Power of Attorney  
☐ Copy of Executed Declaration and Power of attorney from prior application
2. ☒ Substitute Formal Drawings

Please make the Declaration and Power of Attorney of record in the above-identified application.

NYB 1280432 1

SCANNED # 2